



Joseph P. Borg
Director

ALABAMA SECURITIES COMMISSION



**THE ASC MISSION IS TO PROTECT INVESTORS FROM SECURITIES FRAUD
AND PRESERVE LEGITIMATE CAPITAL MARKETS IN ALABAMA.**

FREE SERVICES FOR ALABAMIANS:

- NEED HELP? **CALL 1-800-222-1253.**
- ACCESS TO ASC WEBSITE: www.asc.state.al.us.
- CALL AND REPORT A SUSPECTED SECURITIES SCAM.
- **BEFORE YOU INVEST:** CHECK THE REGISTRATION/LICENSING AND BACKGROUND OF THE PERSON SELLING SECURITIES OR FINANCIAL ADVICE.
- **BEFORE YOU INVEST:** CHECK TO SEE IF THE SECURITIES OFFERED ARE REGISTERED.
- FRAUD PREVENTION INFORMATION AND TRAINING.
- FRAUD PREVENTION DOWNLOADS AND MATERIALS.
- FREE PERSONAL FINANCE AND ECONOMICS CURRICULUM.
- PRESENTATIONS TO CITIZEN GROUPS/ORGANIZATIONS.
- ENFORCE THE ALABAMA SECURITIES ACT TO PROTECT ALL CITIZENS OF ALABAMA.

Contact ASC for inquiries regarding securities broker-dealers, agents, investment advisors, and investment advisor representatives, financial planners, the registration status of securities, to report suspected fraud, or obtain consumer information:

Call: 1-800-222-1253

Fax: 1-334-242-0240

Email: asc@asc.alabama.gov

Write:

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Montgomery, Alabama 36130-4700

ASC Website: www.asc.state.al.us

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